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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Kazuyuki NITTA et al.

Serial No. 09/928,430

Filed August 14, 2001

Docket No. 2001-1143A

Group Art Unit 1752

#3
D.6.
12-19-01

POSITIVE-WORKING PHOTORESIST
COMPOSITION AND RESIST PATTERNING
METHOD USING SAME

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEE FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975.

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

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Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of [X] the references listed on attached form PTO-1449 and/or [] the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. _____.

1a. [X] This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, or

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

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- a. ☐ a full or partial English language translation submitted herewith,
- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
- c. ☒ the concise explanation contained in the specification of the present application at page 1-2,
- d. ☐ the concise explanation set forth in the attached English language abstract,
- e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
- f. ☒ the following:
- (1) Japanese Patent Kokai No. 6-148889 is cited at [0004], line 2 of the specification,
 - (2) U.S. Patent No. 5,939,235 corresponds to Japanese Patent No. Kokai No. 6-230574 cited at [0004] line 2 of the specification,
 - (3) Japanese Patent Kokai No. 8-62844 is cited at [0004], line 2 of the specification
 - (4) U.S. Patent No. 5,876,900 corresponds to Japanese Patent Kokai No. 9-274320 cited at [0004], line 3 of the specification
 - (5) Japanese Patent Kokai No. 2000-188250 is cited at [0007], line 3 of the specification
 - (6) European Patent Publication No. EP 1 099 983 A1
 - (7) Japanese Patent Kokai No. 2000-356850

Enclosed herewith is a copy of each of the documents of which Japanese references (1), (3), (5) and (7) are each accompanied by an English abstract thereof.

5. [] A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

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